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PTO/SB/01 (03-01)

Approved for use through 10/31/2002. OMB 0851-0032

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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing
OR
☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	016422/142
First Named Inventor	David RIOS, et al.
COMPLETE IF KNOWN	
Application Number	09 / 931,149
Filing Date	August 16, 2001
Group Art Unit	2164
Examiner Name	not yet known

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD AND SYSTEM FOR MANAGING A MORTGAGE-BACKED SECURITIES INDEX

(Title of the invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) August 16, 2001 as United States Application Number or PCT International

Application Number 09/931,149 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/028 attached hereto:

(Page 1 of 2)

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DECLARATION — Utility or Design Patent ApplicationDirect all correspondence to: ☒ Customer Number or Bar Code Label ☐ OR ☒ Correspondence address belowName Donna L. Angotti
Schulte Roth & Zabel, LLP

Address 919 Third Avenue

City New York

State NY

ZIP 10022

Country U.S.A.

Telephone 212-756-2488

Fax 212-593-5955

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR: ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle [if any]) David

Family Name or Surname RIOS

Inventor's Signature 

Date 11/27/01

Residence: City Long Island City

State NY

Country U.S.A.

Citizenship U.S.A.

Mailing Address 36-36 24th Street

City Long Island City

State NY

ZIP 11106

Country U.S.A.

NAME OF SECOND INVENTOR: ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle [if any]) Matt

Family Name or Surname RUPPEL

Inventor's Signature 

Date 4/27/01

Residence: City New York

State NY

Country U.S.A.

Citizenship U.S.A.

Mailing Address 687 Greenwich Street, Apt. 103

City New York

State NY

ZIP 10014

Country U.S.A.

☐ Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

Please type a plus sign (+) inside this box → ☒

PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0831-0035

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NOV 28 2001

**POWER OF ATTORNEY OR
AUTHORIZATION OF AGENT**

Application Number	09/
Filing Date	August 13, 2001
First Named Inventor	David RIOS, et al.
Title	METHOD AND SYSTEM FOR MANAGING A MORTGAGE-
Group Art Unit	not yet assigned
Examiner Name	not yet known
Attorney Docket Number	016422/142

I hereby appoint:

☐ Practitioners at Customer Number →

Place Customer Number Bar Code Label here

☒ Practitioner(s) named below:

Name	Registration Number
Joel E. Lutzker	29,406
Leonard Sorgi	33,211
Donna L. Angotti	32,679
Anna Vishev	45,018

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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OR

<input checked="" type="checkbox"/> Firm or Individual Name	SCHULTE ROTH & ZABEL LLP				
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Address					
City	New York	State	New York	Zip	10022
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I am the:

☐ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
SIGNATURE of Applicant or Assignee of Record

Name	Matt Ruppel
Signature	
Date	11/27/2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of _____ forms are submitted.

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Name	Registration Number
Todd Sicklinger	47,087
Mayankumar Dixit	44,064
Richard Chern	44,610

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SIGNATURE of Applicant or Assignee of Record

Name

David Rios

Signature

Date

11/27/01

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